



PTO/SB/08a/b (07-05)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>Substitute for form 1449A/B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/657426-Conf. #9037	
			Filing Date	September 8, 2003	
			First Named Inventor	Adam J. Ferrari	
			Art Unit	2101 2163	
			Examiner Name	S. Metjatic C. Lu	
Sheet	1	of	3	Attorney Docket Number	0109878.00132US1

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
C.L.L.	AA*	US-4,775,935	10-04-1988	Yourick	
	AB*	US-4,868,733	09-19-1989	Fujisawa et al.	
	AC*	US-5,241,671	08-31-1993	Reed et al.	
	AD*	US-5,418,717	05-23-1995	Su et al.	
	AE*	US-5,418,951	05-23-1995	Damashek	
	AF*	US-5,440,742	08-08-1995	Schwanke	
	AG*	US-5,485,621	01-16-1996	Schwanke	
	AH*	US-5,544,049	08-06-1996	Henderson et al.	
	AI*	US-5,546,576	08-13-1996	Cochrane et al.	
	AJ*	US-5,548,506	08-20-1996	Srinivasan	
	AK*	US-5,590,269	12-31-1996	Kruse et al.	
	AL*	US-5,600,829	02-04-1997	Tsatalos et al.	
	AM*	US-5,630,125	05-13-1997	Zellweger	
	AN*	US-5,634,128	05-27-1997	Messina	
	AO*	US-5,675,784	10-07-1997	Maxwell et al.	
	AP*	US-5,696,916	12-09-1997	Yamazaki et al.	
	AQ*	US-5,724,571	03-03-1998	Woods	
	AR*	US-5,740,425	04-14-1998	Povilus	
	AS*	US-5,749,081	05-05-1998	Whiteis	
	AT*	US-5,764,975	06-09-1998	Taniguchi et al.	
	AU*	US-5,812,998	09-22-1998	Tsutsumi et al.	
	AV*	US-5,835,905	11-10-1998	Pirolli et al.	
	AW*	US-5,852,822	12-22-1998	Srinivasan et al.	
	AX*	US-5,864,845	01-26-1999	Voorhees et al.	
	AY*	US-5,864,846	01-26-1999	Voorhees et al.	
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	AA1*	US-5,870,746	02-09-1999	Knutson et al.	
	AB1*	US-5,873,075	02-16-1999	Cochrane et al.	
	AC1*	US-5,875,440	02-23-1999	Cooperman et al.	
	AD1*	US-5,875,446	02-23-1999	Brown et al.	
	AE1*	US-5,878,423	03-02-1999	Anderson et al.	
	AF1*	US-5,893,104	04-06-1999	Srinivasan et al.	
	AG1*	US-5,895,470	04-20-1999	Pirolli et al.	
	AH1*	US-5,897,639	04-27-1999	Greef et al.	
AI1*	US-5,920,859	07-06-1999	Li		
AJ1*	US-5,926,811	07-20-1999	Miller et al.		
AK1*	US-5,940,821	08-17-1999	Wical		
AL1*	US-5,943,670	08-24-1999	Prager		
AM1*	US-5,950,189	09-07-1999	Cohen et al.		
AN1*	US-5,970,489	10-19-1999	Jacobson et al.		
AO1*	US-5,978,788	11-02-1999	Castelli et al.		
AP1*	US-5,978,794	11-02-1999	Agrawal et al.		
AQ1*	US-5,978,799	11-02-1999	Hirsch		
AR1*	US-5,983,223	11-09-1999	Pertman		
AS1*	US-5,986,695	11-16-1999	Chiu et al.		

Examiner Signature		Date Considered	4/27/06
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Substitute for form 1449A/B/PTO  <b>INFORMATION DISCLOSURE  STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/657426-Conf. #9037
				Filing Date	September 8, 2003
				First Named Inventor	Adam J. Ferrari
				Art Unit	216+ 2163
				Examiner Name	S. Metjanic C.L.V
Sheet	2	of	3	Attorney Docket Number	0109878.00132US1

C.L.V.	AT1*	US-5,987,468	11-16-1999	Singh et al.	
	AU1*	US-5,987,470	11-16-1999	Meyers et al.	
	AV1*	US-5,991,756	11-23-1999	Wu	
	AW1	US-6,006,217	12-21-1999	Lumsden	
	AX1*	US-6,006,218	12-21-1999	Breese et al.	
	AY1*	US-6,006,222	12-21-1999	Culliss	
	AZ1*	US-6,006,225	12-21-1999	Bowman et al.	
	AA2*	US-6,009,424	12-28-1999	Lepage et al.	
	AB2*	US-6,012,006	01-04-2000	Ohneda et al.	
	AC2*	US-6,014,639	01-11-2000	Fohn et al.	
	AD2*	US-6,014,655	01-11-2000	Fujiwara et al.	
	AE2*	US-6,014,657	01-11-2000	Weida et al.	
	AF2*	US-6,014,665	01-11-2000	Culliss	
	AG2*	US-6,028,605	02-22-2000	Conrad et al.	
	AH2*	US-6,029,195	02-22-2000	Herz	
	AI2*	US-6,038,560	03-14-2000	Wical	
	AJ2*	US-6,038,574	03-14-2000	Pitkow et al.	
	AK2*	US-6,070,162	05-30-2000	Miyasaka et al.	
	AL2*	US-6,112,186	08-29-2000	Bergh et al.	
	AM2*	US-6,236,985	05-22-2001	Aggarwal et al.	
	AN2*	US-6,240,378	05-29-2001	Imanaka et al.	
	AO2*	US-6,240,409	05-29-2001	Aiken	
	AP2*	US-6,243,713	06-05-2001	Nelson et al.	
	AQ2*	US-6,263,334	07-17-2001	Fayyad et al.	
	AR2*	US-6,269,368	07-31-2001	Diamond	
	AS2*	US-6,272,507	08-07-2001	Pirolli et al.	
	AT2*	US-6,289,354	09-11-2001	Aggarwal et al.	
	AU2*	US-6,301,577	10-09-2001	Matsumoto et al.	
	AV2*	US-6,317,741	11-13-2001	Burrows	
	AW2	US-6,339,767	01-15-2002	Rivette et al.	
	AX2*	US-6,385,602	05-07-2002	Tso et al.	
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	AZ2*	US-6,446,068	09-03-2002	Kortge	
	AA3*	US-6,519,618	02-11-2003	Snyder	
	AB3*	US-6,611,825	08-26-2003	Billheimer et al.	
	AC3*	US-6,633,868	10-14-2003	Min et al.	
	AD3*	US-6,647,391	11-11-2003	Smith et al.	
	AE3*	US-6,697,801	02-24-2004	Eldredge et al.	
	AF3*	US-6,763,351	07-13-2004	Subramaniam et al.	
	AG3*	US-6,845,354	01-18-2005	Kuo et al.	
	AH3*	US-6,853,982	02-08-2005	Smith et al.	
	AI3	US-US-2002/0147703	10-10-2002	Yu, et al.	

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Examiner Initials*	Cite No.†	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T*
		Country Code*	Number* Kind Code* (if known)				
Examiner Signature				Date Considered	4/27/06		

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			Application Number	10/657426-Conf. #9037	
			Filing Date	September 8, 2003	
			First Named Inventor	Adam J. Ferrari	
			Art Unit	2401 2163	
			Examiner Name	S. Metjanc C. Lu	
Sheet	3	of	3	Attorney Docket Number	0109878.00132US1

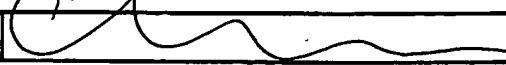
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* CITE NO.: Those application(s) which are marked with an single asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(ii)) because that application was filed after June 30, 2003 or is available in the IFW. \* Applicant's unique citation designation number (optional). \* See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. \* Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). \* For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \* Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. \* Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>	
C.L.	CA	Amato, et al., "Region proximity in metric spaces and its use for approximate similarity search", ACM Trans. In. System, (2003), Vol. 21(2), pp. 192-227		✓
	CB	BERGSTROM, "A family of delphi components for case-based reasoning", Proceedings 11th IEEE International Conference on Chicago, (1999), pp. 153-160		✓
	CC	BEYER et al., "When is 'Nearest Neighbor' meaningful", Proceedings of the 7th International Conference on Database Theory, (1999) 20 pgs		✓
	CD	DIAMANTINI et al., "A conceptual indexing method for content-based retrieval", Database and Expert Systems Applications. Proceedings Tenth Workshop on Florence Italy, (1999), pp. 192-197		✓
	CE	GUHA et al., "ROCK: A robust clustering algorithm for categorical attributes", Data Engineering Proceedings 15th International Conference on Sidney, (1999), pp. 512-521		✓
	CF	GUTTMAN, "R-Trees: A dynamic index structure for spatial searching", Proceedings of the ACM SIG-MOD Conference, (1984) 11 pgs		✓
	CG	HAN-JOON, K. et al., "An effective document clustering method using user-adaptable distance metrics.", SAC, (2002), 16-20		✓
	CH	HINNEBURG et al., "What is the nearest neighbor in high dimensional spaces", Proceedings of the 26th VLDB Conference, (2000) 10 pgs		✓
	CI	HONGYAN JING, "Information retrieval based on context distance and morphology", Proceedings of the 22nd annual international ACM SIGIR conference on Research and Development in information retrieval, pp. 90-96, August 1999		✓
	CJ	MILLER et al., "Integrating Hierarchical Navigation and Querying: A User Customizable Solution" ACM Multimedia Workshop on Effective Abstractions in Multimedia Layout, Presentation, and Interaction, San Francisco, CA, November (1995). 8 pgs		✓
	CK	PI-SHENG, "Using case-based reasoning for decision support", Proceedings of the 27th Annual Hawaii International Conference on System Sciences, (1994), pp. 552-561		✓
	CL	SALTON et al., "Term-weighting approaches in automatic test retrieval", Information Processing & Management, (1988), Vol. 24(5), pp. 513-523		✓
	CM	SHAMOS et al., "Closest-point problems", Proceedings of the 16th Annual Symposium on Foundations of Computer Science, IEEE (1975) 12 pgs		✓
	CN	Yanoo 1990 (Exhibit 12-16) Not present		

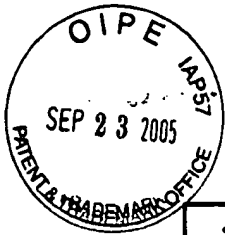
\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	4/27/06
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US1DOCS 5566695v1



PTO/SB/08a/b (07-05)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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				Application Number	10/657,426-Conf. #9037
				Filing Date	September 8, 2003
				First Named Inventor	Adam J. FERRARI
				Art Unit	2461-2463
				Examiner Name	S. Motjahic C.L.W.
Sheet	1	of	1	Attorney Docket Number	0109878.00132US1

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
C.L.W.	AA*	US-6,763,349-B1	07-13-2004	Sacco	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>3</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	4/27/06
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/657,426
Filing Date	September 8, 2003
First Named Inventor	Ferrari, et al.
Art Unit	2174 2163
Examiner Name	Not Yet Assigned C.C.
Attorney Docket Number	109878.132

Sheet 1 of 1

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
C.C. ↓		4,879,648	11/7/1989	Cochran, et al.	
		5,206,949	4/27/1993	Cochran, et al.	
		5,768,581	6/16/1998	Cochran	
		6,345,273	2/5/2002	Cochran	
		6,453,315	9/17/2002	Weissman, et al.	
		US 2004/0117366 A1	6/17/2004	Ferrari, et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
C.C. ↓		EP 0 597 630 A1	5/18/1994	Conquest Software, Inc.	
		WO 03/027902 A1	4/3/2003	Endeca Technologies, Inc.	

Examiner  
SignatureDate  
Considered

4/27/06

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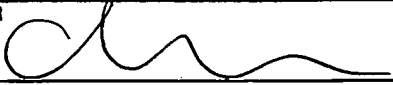


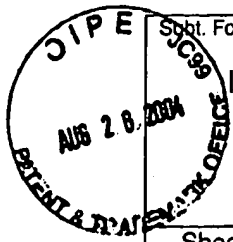
Subt. Form PTO-1449				Docket Number 109878.132	Application Number 10/657,426
INFORMATION DISCLOSURE IN AN APPLICATION  (Use several sheets if necessary)				Applicant Ferrari, et al.	
				Filing Date September 8, 2003	Group Art Unit IBA 2163
Sheet	1	OF	1		

U.S. Patent Documents						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
C-L	6,360,227 B1	03/19/2002	Aggarwal et al.	707	102	01/29/1999
C-L	6,571,282 B1	05/27/2003	Bowman-Amuah	709	219	08/31/1999

Foreign Patent Documents							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)		

EXAMINER 	DATE CONSIDERED 4/27/06
EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP § 609: Draw Line through citation if not conformance and not considered. Include copy with next communication to applicant.	



Subt. Form PTO-1449

INFORMATION DISCLOSURE  
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number  
109878.132Application Number  
10/657,426Applicant  
Ferrari, et al.Filing Date  
September 8, 2003Group Art Unit  
TBA 2163

Sheet 1 OF 1

## U.S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
C.C.	US2002/0083039	6/27/02	Ferrari, et al.	707	1	10/31/02
	US2002/0095405	7/18/02	Fujiwara	707	3	1/18/01
	6,226,745	5/1/01	Wiederhold	713	200	
	6,466,918	10/15/02	Spiegel, et al	705	27	
	6,266,649	7/24/01	Linden, et al.	705	26	

## Foreign Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
C.C.	0 827 063 A1	3/4/98	EP				
C.C.	1 050 830 A2	11/8/00	EP				

## Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)

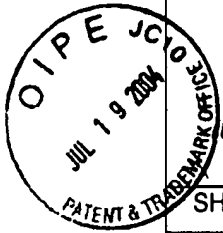
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EXAMINER

DATE CONSIDERED

4/27/06

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WILMER CUTLER PICKERING HALE AND DORR LLP SUBT. FORM PTO-1449				DOCKET NUMBER 109878.132	APPLICATION NUMBER 10/657,426
INFORMATION DISCLOSURE IN AN APPLICATION  (USE SEVERAL SHEETS IF NECESSARY)				APPLICANT Ferrari et al.	
				FILING DATE September 8, 2003	GROUP ART UNIT 2171263
SHEET	1	OF	3		

U.S. Patent Documents						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
W	5,418,948	5/1995	Turtle	395	600	
	5,644,740	7/1997	Kiuchi	395	357	
	5,715,444	2/1998	Danish et al.	395	604	
	5,768,578	2/1995	Kirk et al.	395	611	
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	6,418,429	7/2002	Borovoy et al.	707	3	
	6,424,983	7/2002	Schabes et al.	707	533	
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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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W	A1	Agosti, M., et al., "Issues of Data Modelling in Information Retrieval," <i>Electronic Publishing</i> , Vol. 4 (4) pp. 219-237 (1991).
W	A2	Allen, R.B., "Two Digital Library Interfaces That Exploit Hierarchical Structure," <i>Electronic Publishing</i> , (1995). 15 155
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EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP § 609: Draw Line through citation if not conformance and not considered. Include copy with next communication to applicant.	

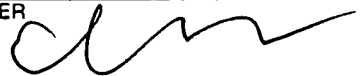


WILMER CUTLER PICKERING HALE AND DORR LLP SUBT. FORM PTO-1449				DOCKET NUMBER 109878.132	APPLICATION NUMBER 10/657,426
INFORMATION DISCLOSURE IN AN APPLICATION  (USE SEVERAL SHEETS IF NECESSARY)				APPLICANT Ferrari et al.	
				FILING DATE September 8, 2003	GROUP ART UNIT 2171263
SHEET	2	OF	3		

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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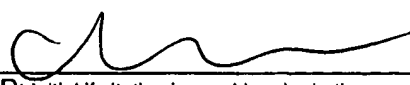
Foreign Patent Documents						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
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✓ C.L.	A4	Baeza-Yates, et al., "New Approaches to Information Management: Attribute-Centric Data Systems" <i>Proceedings Seventh International Symposium on String Processing and Information Retrieval</i> , pp. 17-27 (2000).
✓	A5	Hearst, M., et al., "Cat-a Cone: An Interactive Interface for Specifying Searches and Viewing Retrieval Results Using A Large Category Hierarchy," <i>Ann. Int. ACM-SIGIR Conf. On Res. And Dev. In Information Retrieval</i> , pp. 270-279 (1993).
✓	A6	Pedersen, G.S., "A Browser For Bibliographic Information Retrieval Based On An Application Of Lattice Theory," <i>Proc. of the Ann. Int. SCM SIGIR Conference on Res. And Dev. In Information Retrieval</i> , pp. 270-279 (1993).
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INFORMATION DISCLOSURE IN AN APPLICATION  (USE SEVERAL SHEETS IF NECESSARY)				APPLICANT Ferrari et al.	
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✓ Cul	A9	Story, G. A., et al., "The RightPages Image-Based Electronic Library for Alerting and Browsing," <i>Computer</i> , Vol. 25(9), pp. 17-25 (1992).
✓ Cul	A10	Yahoo!, Copyright 1999 Yahoo! Inc., < <a href="http://web.archive.org/web/19991116151212/http://www.yahoo.com/">http://web.archive.org/web/19991116151212/http://www.yahoo.com/</a> > 12 pgs
✓ Cul	A11	PriceSCAN.com, Your Unbiased Guide to the Lowest Price on Books, Computers, Electronic..., Copyright 1997-1999, < <a href="http://web.archive.org/web/19991117123352/http://www.pricescan.com/">http://web.archive.org/web/19991117123352/http://www.pricescan.com/</a> >, pages 1-8

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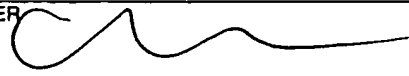


Subt. Form PTO-1449		Docket Number 109878.132	Application Number 10/657,426
INFORMATION DISCLOSURE IN AN APPLICATION  (Use several sheets if necessary)		Applicant Ferrari, et al.	
		Filing Date September 8, 2003	Group Art Unit TBA 263
Sheet	1	OF	1

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Cm	US 2002/0152204	10/17/02	Ortega, et al.	707	3	
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Foreign Patent Documents						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
						YES NO

Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)		

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